

Certified Securities Compliance Professional

Our Certified Securities Compliance Professional ensures that businesses adhere to regulations set forth by the Securities and Exchange Commission (SEC). We analyze and interpret securities laws, develop compliance programs, conduct risk assessments, and provide guidance on best practices for maintaining compliance. We advise state- and SEC-registered investment advisers and broker-dealers on regulatory and compliance issues under the Investment Advisers Act of 1940, FINRA Rules, and state and federal securities laws.

Leveraging our attorney's multifaceted experience across, we provide tailored solutions to businesses navigating regulatory requirements. Whether you are a newly formed entity seeking to register your investment adviser or an established investment adviser or broker-dealer that needs support for compliance issues, our commitment ensures support at every stage.

With a dedication to remaining at the forefront of regulatory developments, our team offers steadfast support to individuals and enterprises alike. We understand the significance of cultivating enduring client relationships and aim to be a full-service partner for your business.

PROFESSIONALS

Daniel Spungen
Partner

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